

# Application For Exemption From Investment Restrictions For International / Global Investments (Issued: 8/03)

In certain circumstances, 840 CMR 19.02 requires this form be completed by the investment manager and submitted to the retirement board. The board must then file the completed form with PERAC. Upon acknowledgement from PERAC that this and other required filings have been received, the board may retain the investment manager. It is suggested that prospective managers submit this form to the board as part of the RFP process.

<input type="text"/>	<input type="text"/>
Name of Retirement Board	Name of Investment Manager
<input type="text"/>	<input type="text"/>
Name of Specific Fund (if applicable)	Equity or Fixed Income
<input type="text"/>	
Street Address	
<input type="text"/>	<input type="text"/>
City	State
<input type="text"/>	Zip
<input type="text"/>	Date

For answers requiring additional space, please provide separate attachments.

1. When was the firm established? Include any historical facts that may be significant.

2. Is your firm registered under the Investment Advisors Act of 1940? If so, please include Form ADV Part II of the Uniform Application for Investment Advisor Registration. Y ☐ N ☐

3. Please describe the current ownership structure of the firm.



4. What are the firm's total assets under management at the end of the most recent quarter?

5. As of that date, what are the firm's total assets under management in international/global investments, broken down by equities and fixed income?

6. Provide biographies of the portfolio manager and/or portfolio management team for this mandate.

Attached ☐

7. How many research analysts are assigned to international/global investments, and how are they organized?

8. Of the current assets under management in international/global investments, what is the number of accounts and market value represented by:

Public pension funds #\_\_\_\_ \$\_\_\_\_\_ Private pension funds #\_\_\_\_ \$\_\_\_\_\_

9. For this investment mandate, either international/global equities or fixed income, please indicate your firm's compound annual rate of return compared to an appropriate benchmark for the most recent three-year period. Please describe the asset base upon which the performance figures are based, and indicate whether the results are gross or net of management fees.

10. Briefly describe the firm's overall investment philosophy, and as it particularly applies to international/global investments.

11. Has the firm or any of its principals, either while at the current firm or at a previous firm, been the subject of any litigation or regulatory enforcement action over the past five years? If so, please give outcome or current status.

Name of Individual (Print or Type)

Signature

Title

Date